

INSTRUCTIONS FOR COMPLETING EXECUTIVE  
PERSONNEL TRANSACTION FORM  
(OPM FORM 1390)

This form is to be used for all actions involving positions or individuals in the following pay plans and grades. The codes for the pay plans are shown in parentheses.

Executive Schedule I through V (EX)

Senior Executive Service (ES)

General Schedule 16, 17, & 18 (GS)

Scientific and professional, under 5 U.S.C. 3104 (ST)

Other pay plans for positions at these levels as appropriate (see FPM Supplement 292-1)

A single form should be used to show changes in only one position and/or incumbent.

The form is to be used both to request approval from OPM where required and to provide information on actions taken under agency authority.

Submissions of information should be sent as soon as possible, but not later than seven calendar days following the end of the pay period in which the action is taken. Forms should be sent to:

Executive Personnel and Management Development, Room 6480  
Office of Personnel Management  
Washington, D.C. 20415

I. Type of Transaction

If an action is submitted for information in items A or B, give effective date of action. (For instance, if a position has been established, give date this was done.) If action is submitted for OPM approval, leave effective date blank but put "proposed effective date" under Agency Remarks in Section VII.

A. Actions Involving Position

01 to 04 are classification actions and should be considered in terms of covered positions only. For instance, if a former GS-15 position is upgraded to an SES position, the action would be reported as "Establish new position"; and if a former GS-16 position is downgraded to a GS-15 position, the action would be reported as "Cancel position". If OPM approval is requested for any of the classification actions, attach three copies of the proposed position description and one copy each of an organization chart, functional statement, and evaluation statement. Otherwise, you need to submit only a cover sheet of the position description (i.e. OF 8).

01—This code includes newly established Executive Level positions, in which case give legal authority in Agency Remarks in Section VII. 01 also includes requests to establish Administrative Law Judge positions.

02—Use this code when reestablishing positions that were previously submitted as "Cancel position (temporary)".

03—Self explanatory.

04—A change in title or organizational location of a position, without a change in grade, should be reported under this code.

05—Use this code when you do not expect to reestablish a position. Fill out information about cancelled position under IIA, "Former Position." If an Executive Level position is cancelled, give legal authority in Agency Remarks in Section VII.

06—This code should be used when a position is cancelled temporarily, but you expect to reestablish this position in the future. Fill out information about cancelled position under IIA, "Former Position."

07—Use if Schedule A, B, or C or Noncareer Executive Assignment authority is being requested or established.

08 & 09—Both of these actions require OPM approval. Attach a justification statement.

10—This action need be submitted for information only.

B. Actions Involving Individual

01—Enter this code any time an individual is appointed to a covered position (whether by appointment from outside the Government, reassignment, promotion, demotion, or transfer) where OPM approval is not required or where the appointment was effected after OPM approval of the action. If the action is a temporary promotion, show the length of the promotion in Agency Remarks in Section VII. An SF 161 or 161A should always be attached, if not previously submitted, except for Executive Level incumbents not previously in the Executive Inventory File. In effective date, give date employee entered or will enter on duty in this position.

02—Enter this code when prior OPM approval is required of the individual's qualifications for appointment, including executive qualifications of candidates for SES positions. An SF 161 or 161A should always be attached. A qualification evaluation statement should be attached as appropriate. When requesting approval of executive qualifications, indicate in Agency Remarks in Section VII if the basis for consideration is:

- (A) demonstrated executive experience,
- (B) successful participation in an approved career executive development program, or
- (C) special or unique qualities.

When requesting noncompetitive action in filling Administrative Law Judge positions a SF 59 should also be attached. After receiving OPM approval, a new Executive Personnel Transaction form should be submitted for information showing effective date of the appointment (transaction IB01).

03—Enter this code when the individual is leaving a covered position, but not going into another one (e.g., leaving Government or going to a GS-15 position). If the individual is going to an uncovered Federal position, IIA should show the former covered position and IIB the new uncovered position.

04—This code is for appointments to GS positions only. Show above minimum rate in Agency Remarks in Section VII. If OPM approval is needed, attach justification.

05—This code is for a conversion after July 13, 1979, but under the conversion provisions of Section 413 of Public Law 95-454, the Civil Service Reform Act of 1978.

06—Enter this code for any change in ST salary or SES pay rate.

07—This code is for promotions to GS positions only. If OPM approval is needed, attach justification.

08 & 09—Both of these actions require OPM approval. Attach appropriate justification.

10—This code covers details within the Executive Branch or long-term training of 120 days or more. A form should be submitted for all ALJ details and other details which are beyond 120 days. Check "Begin" if

Form is being submitted to show schedule detail or detail in progress and enter actual starting date in "Effective date". Check "End" if form is being submitted to show termination of detail previously reported and enter termination date in "Effective date." Enter the regular assignment under IIA and the detail under IIB.

11—Check whether sabbatical is beginning or ending. Show the length of the sabbatical, and nature of activity if known, in Agency Remarks in Section VII.

12—This code includes intergovernmental personnel assignments and assignments to international organizations. Check whether assignment is beginning or ending. Describe the nature of the assignment including anticipated length, in Agency Remarks in Section VII.

#### Position Information

A. This covers only an individual's former position or information on a position being cancelled. Complete only if an action involving an individual has been checked under IB and the individual's former position is in the Federal service or if IA 05 or 06 has been entered. If the individual is coming from outside the Federal service leave blank. When filling out, follow instructions under B, immediately below.

B. Complete in all cases as follows:

Position title — Enter official title.

Position number — Enter the number allocated to the position. Number in accordance with the instructions below but do not use more positions than you are allotted in any given pay system. Keep the same number for the same position as long as it exists. If you use the "float system," keep the number with the position until it is in use again and use new numbers for other positions. It is alright to number past the number in your allotment, as long as you cancel any position not in use. You may reuse permanently cancelled numbers.

- The first 2 spaces will show the agency as designated in FPM Special Bulletin 920-16.
- The 3rd and 4th spaces will show the pay plan as abbreviated in the introduction to these instructions. Administrative Law Judges, though in the General Schedule, will be treated as a separate pay plan under the position numbering system (as AJ). The "Other pay plans" will all have a position number symbol of "OT".
- The last 4 spaces will show the number of the position within the pay plan. Numbers for the EX, SES, GS, and ST pay plans will start with 0001 within the agency. For example, DYES0127 would stand for Treasury, Senior Executive Service, No. 127. Leave last 4 spaces blank for new positions in AJ and Other pay plans, to be filled in by OPM.

Pay plan — Enter EX for Executive Schedule, ES for Senior Executive Service, GS for General Schedule (including ALJs), ST for ungraded scientific or professional positions engaged in research and development, or the codes for other pay plans shown in FPM Supplement 292-1.

Grade — If position is EX I through V enter 01 through 05. If position is GS enter 16, 17, or 18. If position is in another graded pay plan, fill in appropriately. If position is ES or ST, leave blank.

Occupational series — Enter most appropriate GS occupational series for positions in ES, GS, ST, and OT pay plans. Leave blank for EX positions.

Appointment authority — Enter appropriate code from list below for positions in EX, GS, ST, and OT pay plans. Leave blank for SES positions, since the type of appointment for these positions can vary with the incumbent (see V-A).

Career Executive Assignment	CE
Limited Executive Assignment	LE
Noncareer Executive Assignment	NC
Schedule A	SA
Schedule B	SB
Schedule C	SC
Presidential	PA
Presidential with Senate approval	PS
Excepted by statute	XS
Competitive	
(use for competitive positions in ST or EX pay plans)	CO
Career or Career Conditional	
(for GS-15 and below)	CC

Manager, supervisor, all others — Use the definitions in the Supervisory Grade Evaluation Guide.

Geographic Location — Enter 9 digit code from GSA publication, "Worldwide Geographic Location Codes."

#### III. Information about the Individual

A. Self explanatory.

B. The appropriate entries must always be filled out. For individuals who did not convert to SES, the actual ("status quo") pay plan and grade or salary should be shown. For individuals on saved pay in a covered position (e.g. GS-17 in a GS-16 position), the saved grade and pay plan should be shown here, with the actual grade and pay plan of the position shown in IIB. Additional pay plans may be used in accordance with FPM Supplement 292-1.

C. Complete if there is any change in pay plans or if the individual's pay rate, grade, or salary changes within a pay plan.

#### IV. Staffing Information

A. If an individual is changing agencies, only the gaining agency should complete this item.

B. Self explanatory.

C. Complete if individual left Federal service as a result of a voluntary action (e.g., resignation or retirement).

V. Information about SES Members Only — Enter appropriate code for each item. B should be answered only for individuals entering SES.

VI. Documents Submitted — See instructions for IA and IB to see what documents have to be submitted with what actions.

VII. Agency Remarks — Use the Remarks section to provide any needed explanations. Cite appropriate section of the form to which the remarks refer. Any waivers to normal regulations, such as those regarding employment of retired military officers, should be noted here. Each form must be signed by the authorized submitting official.

VIII. OPM Action and Remarks — This section shows the official OPM action on any agency request for approval of an action.

# EXECUTIVE PERSONNEL TRANSACTION

Please read the instructions before completing this form. Submit original and one copy of both sides. Print clearly or use a half spacing elite typewriter.

FOR OPM USE ONLY									
Case Number					Date Received				

## I. TYPE OF TRANSACTION

A. Actions Involving Position (Enter from codes 01 to 11 in the first two spaces at right—2 entries are possible. Then enter "R" for Request for Approval or "N" for Information in the third space.)

- |   |   |
|---|---|
| 01 — Establish new position               | 07 — New non-SES excepted appointing authority          |
| 02 — Reestablish old position             | 08 — Authorization for SES limited appointing authority |
| 03 — Change grade of established position | 09 — Change SES career reserved position to general     |
| 04 — Redescribe established position      | 10 — Change SES general position to career reserved     |
| 05 — Cancel position (permanent)          | 11 — Other (Specify):                                   |
| 06 — Cancel position (temporary)          |   |

R or N

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Effective Date

Year	Mo.	Day
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R or N

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Effective Date

Year	Mo.	Day
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B. Actions Involving Individual (Enter from 01 to 13 in the first two spaces at right—2 entries are possible. Then enter "R" for Request for Approval or "N" for Information in the third space.)

- |   |  |
|---|--|
| 01 — Individual appointed to position (no qualifications approval needed)                           | 08 — Nomination to SES Meritorious Executive Rank                  |
| 02 — Individual proposed for position (request approval of qualifications or noncompetitive action) | 09 — Nomination to SES Distinguished Executive Rank                |
| 03 — Individual leaving covered position  | 10 — Detail or long-term training . . . . . Begin                  |
| 04 — Salary rate above minimum  | 11 — SES sabbatical . . . . . Begin                                |
| 05 — Conversion under Section 413, CSRA   | 12 — Temporary assignment outside Executive Branch . . . . . Begin |
| 06 — Change in ST salary or SES pay rate  | 13 — Other (Specify):  |
| 07 — Time-in-grade exception  |  |

R or N

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Effective Date

Year	Mo.	Day
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R or N

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Effective Date

Year	Mo.	Day
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## II. POSITION INFORMATION

A. Former Position (Leave blank if no change in position, or if the individual comes from outside the Federal government.)

Position Title	Position Number	Pay Plan	Grade	Occupational Series	Appt. Auth.
Enter: M—Manager S—Supervisor A—All others					
Agency, Bureau, Division	Enter for SES: 1—General		2—Career Reserved		
Geographic Location		For OPM Use Only			

B. Current or Proposed Position (Complete in all Transactions unless submitted only to cancel a position.)

Position Title	Position Number	Pay Plan	Grade	Occupational Series	Appt. Auth.
Enter: M—Manager S—Supervisor A—All others					
Agency, Bureau, Division	Enter for SES: 1—General		2—Career Reserved		
Geographic Location		For OPM Use Only			

## III. INFORMATION ABOUT THE INDIVIDUAL

If the position is vacant, enter "V"

A. Name (Last, First, Middle Initial)

Social Security Number	Sex
	M—Male F—Female

B. Current or Proposed Pay Rate, Grade, or Salary (Enter pay plan at right)

1 — Pay rate if in SES (Enter SES pay rate 1 to 6 at right)

—OR—

2 — Grade if graded pay system (Enter EX or GS or other grade)

—OR—

3 — Salary if ungraded pay system (Enter ST or other salary)

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C. Previous Pay Rate, Grade, or Salary if Different (Enter pay plan at right)

1 — Pay rate if in SES (Enter SES pay rate 1 to 6 at right)

—OR—

2 — Grade if graded pay system (Enter EX or GS or other grade)

—OR—

3 — Salary if ungraded pay system (Enter ST or other salary)

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## IV. STAFFING INFORMATION

A. If going into a new position, where was individual recruited from (*Enter from codes 1 to 6 at right*)

- 1 - Same bureau, same agency      3 - Different Executive Branch agency      5 - Outside Fed. Gov't. (*reinstatement*)  
 2 - Different bureau, same agency      4 - Legislative or Judicial Branch      6 - Outside Fed. Gov't. (*not reinstatement*)

B. If individual left Federal service, was it through: (*Enter from codes 1 to 9 at right*)

- 1 - Resignation      4 - Retirement: Optional      8 - Death  
 2 - Retirement: Discontinued Service (*SES Performance*)      5 - Retirement: Disability      9 - Other (*Specify*):  
 3 - Retirement: Discontinued Service (*RIF, reorganization, transfer of function*)      6 - Termination during Probation  
 7 - Reduction in Force

C. If individual left Federal service, did individual plan to work for: (*Enter from codes 1 to 9 at right*)

- 1 - State or local government      4 - Business or industry      7 - No employment planned  
 2 - University      5 - Professional (*e.g. law firm, medical*)      8 - Unknown  
 3 - Nonprofit organization (*e.g. foundation, union*)      6 - Self-employment      9 - Other (*Specify*):

## V. INFORMATION ABOUT SES MEMBERS ONLY

A. Type of appointment (*Enter from codes 1 to 4 at right*)

- 1 - Career      2 - Noncareer      3 - Limited term      4 - Limited emergency

B. Does individual have 5 years current continuous service in the civil service immediately preceding initial SES appointment? (*Enter 1 for Yes or 2 for No at right*)C. If employee leaves SES for another Federal position, was it a result of: (*Enter from codes 1 to 6 at right*)

- 1 - Voluntary change      4 - Two less than fully satisfactory ratings in three years  
 2 - One unsatisfactory rating      5 - Unsatisfactory performance during probation  
 3 - Two unsatisfactory ratings in five years      6 - Other (*Specify*):

D. If converted to a Presidential appointment with the advice and consent of the Senate, does employee elect to continue SES benefits? (*Enter 1 for Yes or 2 for No at right*)VI. DOCUMENTS SUBMITTED (*See instructions and place an "X" in the appropriate box(es), if attached*)

Position Description or OF 8, cover sheet	SF 39	Statement justifying request
Position Evaluation	SF 59	Other ( <i>Specify</i> ):
Qualifications Requirements	SF 161 or 161A	Other ( <i>Specify</i> ):
Qualifications Evaluation Statement	SF 171	Other ( <i>Specify</i> ):

## VII. AGENCY REMARKS

Typed name and title of submitting official

Signature

Date

## VIII. OPM ACTION AND REMARKS

Approved

Disapproved

Other

OPM USE ONLY    Pos    Pos    Inc    Inc

Typed name and title of OPM official

Signature

Date